

## Securities and Exchange Commission

## § 249.637

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 9-M, see the List of CFR Sections Affected in the Finding Aids section of this volume.

### **§ 249.510 Form 10-M, consent to service of process by a nonresident general partner of a broker-dealer firm.**

This form shall be filed pursuant to Rule 15b1-5 (§ 240.15b1-5 of this chapter) by each nonresident general partner of a broker-dealer firm registered or applying for registration pursuant to section 15 of the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 10-M, see the List of CFR Sections Affected in the Finding Aids section of this volume.

## **Subpart G—Forms for Reports To Be Made by Certain Exchange Members, Brokers, and Dealers**

### **§ 249.617 Form X-17A-5, information required of certain brokers and dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5, § 240.17a-10 and § 240.17a-11, and § 240.17a-12 of this chapter.**

Appropriate parts of this form shall be used by every broker or dealer required to file reports under § 240.17a-5(a), (b), and (d), § 240.17a-10(a), and § 240.17a-11, and § 240.17a-12 of this chapter.

(Secs. 15, 17 and 23, of the Securities Exchange Act of 1934 (15 U.S.C. 78o, 78q, and 78w))

[49 FR 43455, Oct. 29, 1984, as amended at 63 FR 59404, Nov. 3, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-17A-5, see the List of CFR Sections Affected in the Finding Aids section of this volume.

### **§ 249.618 Form BD-Y2K, information required of broker-dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5 of this chapter.**

This form shall be used by every broker-dealer required to file reports under § 240.17a-5(e) of this chapter.

[63 FR 37674, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form BD-Y2K, see the List

of CFR Sections Affected in the Finding Aids section of this volume.

### **§ 249.619 Form TA-Y2K, information required of transfer agents pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17Ad-18 of this chapter.**

This form shall be used by every registered transfer agent required to file reports under § 240.17Ad-18 of this chapter.

[63 FR 37694, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-Y2K, see the List of CFR Sections Affected in the Finding Aids section of this volume.

### **§§ 249.620—249.634 [Reserved]**

### **§ 249.635 Form X-17A-19, report by national securities exchanges and registered national securities associations of changes in the membership status of any of their members.**

This form shall be completed and filed by each national securities exchange or registered national securities association as required by § 240.17a-19 of this chapter within 5 business days of the occurrence of the initiation of the membership of any person or the suspension or termination of the membership of any of its members.

[45 FR 39840, June 12, 1980]

### **§ 249.636 Form 17A-23, information required of certain broker and dealer sponsors of broker-dealer trading systems pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-23 of this chapter.**

This form shall be used by every registered broker and dealer that is required to file reports under § 240.17a-23 of this chapter.

[59 FR 66710, Dec. 28, 1994]

### **§ 249.637 Form ATS, information required of alternative trading systems pursuant to § 242.301(b)(2) of this chapter.**

This form shall be used by every alternative trading system to file required notices, reports and amendments under § 242.301(b)(2) of this chapter.

[63 FR 70933, Dec. 22, 1998]